

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

FILING COMPLETION UNDER RULE 53(f)

( NOT PCT Applications)  
For Design, Provisional, or Utility Applications

PATENT  
APPLICATION



COMPLETION Under  
Rule 53(f)

Attn: Application Division

In re PATENT APPLICATION of  
Inventor(s): Yim Bun Patrick KWAN  
Appln. No.: 09 928,462

Atty. Dkt. P 265272 M# P-0201.010-US Client Ref

Filed: August 22, 2001  
Title: LITHOGRAPHIC APPARATUS, DEVICE MANUFACTURING METHOD,  
AND DEVICE MANUFACTURED THEREBY

Hon. Commissioner of Patents  
Washington, DC 20231

Date: October 25, 2001

Sir:  
The following **completes the filing** under **Rule 53(f)** of the above-identified patent application:

1. **Notice to File Missing Parts** ☒ copy attached ☐ not yet received
2. ☒ Signed Declaration attached. ☒ Original ☐ Facsimile/Copy

(Always "X" box 2 if filing signed Declaration and  
"X" box 2A only if top box of the Declaration is X'd and file application copy, or  
"X" box 2B only if none of the top three boxes of the Declaration is X'd.)

- 2A. ☐ Attached: Original signed Declaration with attached specification (including claim(s)) which is a copy of specification and claim(s) originally filed to secure the above filing date.
- 2B. ☐ The original application as filed in the PTO on the above filing date is the application which each inventor executed by signing the attached Rule 63 Declaration.
3. ☐ Specification originally filed in non-English language; hence verified translation attached of:
  - a. ☐ Abstract
  - b. #  pages of Specification (only spec. & claims)
  - c. ☐ Drawing(s)  No of Sheets
  - ☐ Fig(s).
4. ☐ Letter filing formal drawing attached.

5. ☒ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.
6. **DOMESTIC/INTERNATIONAL** priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.	Filing Date	Application No.	Filing Date
(1)		(2)	
(3)		(4)	
(5)		(6)	

7. **FOREIGN** priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in EUROPE

8.

Application No.	Filing Date	Application No.	Filing Date
(1) 00307306.1	24 August 2000	(2)	
(3)		(4)	
(5)		(6)	

Completion Under Rule 53(f)

9. \_\_\_\_\_ (No.) Certified copy (copies): ☐ attached; ☒ previously filed (date) August 22, 2001  
in U.S. Application No. 1 filed on \_\_\_\_\_
10. Small Entity Status ☐ ☒ is Not claimed ☐ is claimed (file PAT-256 if this is the first claim of Small Entity Status)
11. ☐ Attached:
12. ☐ Preliminary Amendment:

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

				Large/Small Entity		Fee Code
13. Basic Filing Fee . . . . . Design Application				\$330/\$165		106/26
Not Design Application				\$740/\$370	+740	101/201
14. Total Effective Claims	27	minus 20 =	7	x \$18/\$9	+126	103/203
15. Independent Claims	4	minus 3 =	1	x \$84/\$42	+84	102/202
16. If <u>any proper</u> multiple dependent claim (ignore improper) is present, (Leave this line blank if this is a reissue application)				\$280/\$140	+0	104/204
17. Surcharge for filing Declaration/filing fee late				\$130/\$65	+130	105/205
18.				FILING FEE ENCLOSED =		\$1080
19. <b>Original due date:</b> November 28, 2001						
20. <b>Petition is hereby made</b> to extend the <u>original</u> due date to				(1 mo)	\$110/\$55 =	+0
cover the date this response is filed for which the requisite fee				(2mos)	\$400/\$200 =	115/215
is attached				(3mos)	\$920/\$460 =	116/216
				(4mos)	\$1,440/\$720 =	117/217
21. If "non-English" box 3 is X'd, add Rule 17(k) processing fee . . . . .				\$130	+0	118/218
22. If "assignment" box 5 is X'd, add recording fee. . . . .				\$40	+40	139
23. Petition Fee for				\$130	+0	581
24.				TOTAL FEE ENCLOSED =		\$1120

Our Deposit Account No. 03-3975  
Our Order No. 81468

265272

C#

M#

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficiencies only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

**Pillsbury Winthrop LLP**  
**Intellectual Property Group**

1600 Tysons Boulevard  
McLean, VA 22102  
Tel: (703) 905-2000

By Atty: Jack S. BarufkaReg. No. 37087Sig: 

Fax: (703) 905-2500  
Tel: (703) 905-2012

Atty/Sec: JSB/rsp

**NOTE: Fil in duplicate with PTO receipt (PAT-103A) and attachments**

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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/928,462	08/22/2001	Yim Bun Patrick Kwan	P 265272 P-0201.010-US

CONFIRMATION NO. 7375

## FORMALITIES LETTER



\*OC000000006814755\*

00909  
RILLSBURY WINTHROP LLP  
1600 TYSONS BOULEVARD  
MCLEAN, VA 22102

Date Mailed: 09/28/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

10/26/2001 MWOLDER1 00000055 09928462

FILED UNDER 37 CFR 1.53(b)

01 FC:101	740.00 OP
02 FC:102	84.00 OP
03 FC:103	126.00 OP
04 FC:105	130.00 OP

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$206.
  - \$126 for 7 total claims over 20.
  - \$80 for 1 independent claims over 3 .
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1046.**

A copy of this notice **MUST** be returned with the reply.

  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE